

THIS SOLICITATION IS BEING EXTENDED TO ALL INTERESTED FIRMS

LEGAL NOTICE

CSO Solicitation No. 2257

Request for Letters of Interest

Certified Public Accounting for MTA/MNRR Auditing Services

The Connecticut Department of Transportation (Department) is seeking to retain a Certified Public Accounting firm to provide consulting and auditing services of the Metropolitan Transportation Authority/Metro North Commuter Railroad. The services to be provided by the selected firm shall include, but are not limited to, reviewing and auditing financial operations, research projects, and commuter usage of the New Haven Line services and facilities as well as other financial related activities applicable to the calendar years of 2016, 2017, 2018 and 2019. This contract is expected to start in January of 2016.

Firm's areas of expertise must include performing audits in accordance with Generally Accepted Auditing Standards.

If your firm would like to be considered for this assignment, your submittal should consist of a letter of interest limited to one (1) page, a copy of the firm's most recent peer review and letter of comments, and a Department FORM CSO 255 with a maximum of five (5) resumes, which are limited to two (2) pages each. One of the resumes must be that of the proposed Project Manager in charge of the work, as well as the assurance that he/ she will be available for work when required (the CSO 255 form can be found online at www.ct.gov/dot/consultant). **Four copies of the submittal are required and they must be either postmarked by, or, if hand delivered, received by 3:00 p.m. on November 19, 2016.** Firms, who are shortlisted based on their CSO 255 submittal, will be notified by the Consultant Selection Office of the time and date for their final selection interview. A final selection is anticipated by November 30, 2015.

Your CSO 255 submittal should identify the following: your proposed current staff and their qualifications, experience, and availability to perform the required services. Your submittal will be evaluated on the following criteria:

- (1) Proposed staff and qualifications, including licensure, and continuing professional education of assigned staff. Weighted scoring value = 30%
- (2) Experience in performing surveys and analyzing the operation & budgets for a transportation commuter service. Weighted scoring value = 15%
- (3) Experience in Performing Contract or Compliance Audits. Weighted scoring value = 15%
- (4) Auditing and consulting experience of Railroad operations and other related areas. Weighted scoring value = 20%
- (5) Firms overall resources and ability to complete tasks considering Peer Review and Letter of Comments. Weighted scoring value = 25%

The Certification, Licensure and Continuing Professional Education of the proposed Professional personnel must also be included.

Responding firms shall provide a statement of all contracts with the Department of Transportation, which are currently being performed and a statement as to whether the firm or firms performed services under any name other than the one appearing in the response.

Please be advised that a small business enterprise (SBE) set-aside requirement apply to this project. The set-aside requirement will be no less than 10% percent of the agreement value. Within the letter of interest submittal, you must include the designated certified Small Business Enterprise (SBE) sub consultant(s) which you plan to use. The SBE subconsultants must be currently certified by the Department of Administrative Services. All firms are advised that the prime consultant must perform the major part of the work with employees of the firm. Subconsultants may be used to comply with SBE requirements or perform specialized work. Joint venturing assignments will not be allowed.

Do not send additional documentation other than what is requested. The Consultant Selection Panel may reject your submittal, and your firm may not be considered for this project if you provide additional documentation such as corporate brochures, background information, and histories.

In accordance with the Connecticut General Statutes (CGS) Sections 4-252, 4a-81, and 4-252a, firms, once selected, must complete the Office of Policy and Management's (OPM) Ethics Form 1 (Gift and Campaign Contribution Certification), Form 5 (Consulting Agreement Affidavit), and Form 7 (Iran Certification) prior to the agreement/contract execution. Forms 1 and 5 apply to all consulting agreements/contracts which have a total value to the State of Connecticut (State) of fifty thousand dollars (\$50,000) or more in a calendar or fiscal year. Form 7 applies to any consulting agreement/contract which has a total cumulative value to the State of five hundred thousand dollars (\$500,000) or more. Any consultant that does not complete the certifications (Form 1 & 7) required under subsection (c) of CGS 4-252 and subsection (b) of CGS 4-252a, or refuses to submit the affidavit (Form 5) required under subsection (b) of CGS 4a-81 shall be disqualified and the Department shall award the agreement/contract to the next highest ranked consultant or seek new submittals, in accordance with subsection (d) of CGS 4-252 and subsection (d) of CGS 4a-81. Further information on these requirements can be obtained online at <http://www.ct.gov/opm> via the Ethics Affidavits link.

Please note, in an effort to streamline the certification and affidavit process for contract/agreement execution, the Department is requiring selected firms to upload Forms 1, 5 and 7 on the Department of Administrative Services (DAS) Business Network ("BizNet") website. Further information can be found at <http://www.das.ct.gov/cr1.aspx?page=371> to subscribe to BizNet and obtain directions to upload the forms following the "Vendor Guide to Uploading Affidavits and Nondiscrimination Forms Online (PDF)."

For all State contracts, as defined in CGS § 9-612(f)(1) having a value in a calendar year of fifty thousand dollars (\$50,000) or more or a combination or series of such agreements or contracts having a value of one hundred thousand dollars (\$100,000) or more, the authorized signatory to this submission in response to the State's solicitation expressly acknowledges receipt of the State Elections Enforcement Commission's Notice titled "Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations" (Notice) advising State contractors of State campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the Notice. The State Elections Enforcement Commission's Notice can be found online at www.ct.gov/SEEC by clicking on the Forms link and then the Contractor Reporting Forms link. The Notice is hereby made a part of this solicitation.

Prior to the negotiation process, the selected firm will be required to have a Department-approved affirmative action plan, as well as current corporate registration with the Secretary of State (partnerships excluded), and registration with the State Board of Accountancy. The selected firms will also be required to maintain insurance coverage from a firm licensed to do business in the State of Connecticut. Proof of coverage must be submitted on a form acceptable to the State prior to the start of the negotiations process.

The Department, in its sole discretion, reserves the right to cancel this solicitation and terminate the process to retain consultant services, and is under no obligation to contract for the services specified herein.

The Department reserves the rights to add additional projects of a similar nature for a separate selection should additional projects become available prior to the interview phase of the selection process.

All submittals shall be addressed as follows:

Mr. David Mancini
Consultant Selection Office
Connecticut Department of Transportation
2800 Berlin Turnpike
Newington, CT 06131

Hand delivered submittals must be brought to the front desk at the aforementioned address by 3 p.m. on November 19, 2016. Submittals hand-delivered or postmarked after this date and time will not be considered.

All inquiries regarding this request for letters of interest shall be directed to the Consultant Selection Office at 860-594-3017.

Connecticut Department of Transportation
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